



DAC 1080  
\$5  
141

PTO/SB/64 (10-01)  
Approved for use through 10/31/2002. OMB 0651-0031  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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**PETITION FOR REVIVAL OF AN APPLICATION FOR PATENT ABANDONED  
UNINTENTIONALLY UNDER 37 CFR 1.137(b)**

Docket Number (Optional)

MVI-005

First named inventor: Jacson Liu

Application No.: 09/187,197

Art Unit: 2822

Filed: 11/03/1998

Examiner: Guerrero, M

Title: Shallow trench isolation method for a semiconductor wafer

Attention: Office of Petitions  
Assistant Commissioner for Patents  
Box DAC  
Washington, D.C. 20231

NOTE: If information or assistance is needed in completing this form, please contact Petitions  
Information at (703) 305-9282.

The above-identified application became abandoned for failure to file a timely and proper reply to a  
notice or action by the United States Patent and Trademark Office. The date of abandonment is the day after the  
expiration date of the period set for reply in the Office notice or action plus an extensions of time  
actually obtained.

**APPLICANT HEREBY PETITIONS FOR REVIVAL OF THIS APPLICATION**

NOTE: A grantable petition requires the following items:

- (1) Petition fee;
- (2) Reply and/or issue fee;
- (3) Terminal disclaimer with disclaimer fee --required for all utility and plant applications  
filed before June 8, 1995; and for all design applications; and
- (4) Statement that the entire delay was unintentional.

**1. Petition fee**

☐ Small entity-fee \$\_\_\_\_\_ (37 CFR 1.17(m)). Applicant claims small entity status. See 37 CFR 1.27.

☒ Other than small entity - fee \$ 1280 (37 CFR 1.17(m))

**2. Reply and/or fee**

A. The reply and/or fee to the above-noted Office action in  
the form of response to office action dated 02/17/99 (identify type of reply):

- ☐ has been filed previously on \_\_\_\_\_  
☒ is enclosed herewith.

B. The issue fee of \$\_\_\_\_\_.

- ☐ has been paid previously on \_\_\_\_\_  
☐ is enclosed herewith.

[Page 1 of 2]

Burden Hour Statement: This form is estimated to take 1.0 hour to complete. Time will vary depending upon the needs of the individual case. Any comments on  
the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC  
20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

09/11/2002 SSITHIB1 00000166 500801 09187197

01 FC:141 1280.00 CH

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**OFFICE OF PETITIONS**

## 3. Terminal disclaimer with disclaimer fee

- ☒ Since this utility/plant application was filed on or after June 8, 1995, no terminal disclaimer is required.
- ☐ A terminal disclaimer (and disclaimer fee (37 CFR 1.20(d)) of \$ \_\_\_\_\_ for a small entity or \$ \_\_\_\_\_ for other than a small entity) disclaiming the required period of time is enclosed herewith (see PTO/SB/63).

4. STATEMENT: The entire delay in filing the required reply from the due date for the required reply until the filing of a grantable petition under 37 CFR 1.137(b) was unintentional. [NOTE: The United States Patent and Trademark Office may require additional information if there is a question as to whether either the abandonment or the delay in filing a petition under 37 CFR 1.137(b) was unintentional (MPEP 711.03(c), subsections (III)(C) and (D))].

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**

9/5/2002  
Date

Winston Hsu  
Signature

Telephone  
Number: (886) 2-89237350

Winston Hsu  
Typed or printed name

P.O. BOX 506  
Address

Merrifield, VA 22116

U.S.A.

Enclosures: ☒ Fee Payment

☒ Reply

☐ Terminal Disclaimer Form

☒ Additional sheets containing statements establishing unintentional delay

☒ Other: a copy of PAIR page

## CERTIFICATE OF MAILING OR TRANSMISSION [37 CFR 1.8(a)]

I hereby certify that this correspondence is being:

☐ deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Box DAC, Washington, D.C. 20231.

☐ transmitted by facsimile on the date shown below to the United States Patent and Trademark Office at (703) 308-6916.

\_\_\_\_\_  
Date

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Type or printed name of person signing certificate



**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

5    Applicant:            Jacson Liu                      Examiner:            Guerrero, M.  
     Filing Date:        11/03/1998                      Art Unit:            2822  
     App. No.:            09/187,197                      Docket No.:        MVI-005

Title:            Shallow Trench Isolation Method for a Semiconductor Wafer

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To:            Box DAC  
                 Commissioner of Patents and Trademarks  
                 Washington, D.C. 20231

15    Subject:            Petition to revive an application for patent under 37 CFR 1.137(b)

Dear Sir or Madame:

On 8/23/2002, the USPTO's PAIR system was utilized to perform a check of the  
20    above-identified application. The PAIR system indicated that the application had  
     become abandoned on 9/27/1999 for failing to file a timely reply to a restriction  
     requirement mailed on 2/17/1999. The Notice of Abandonment for this application  
     was received by an assistant of the agent of record for this case. This assistant was  
     responsible for receiving correspondence and forwarding that correspondence to the  
25    agent as required. Unfortunately, the assistant failed to notify the agent of the Notice  
     of Abandonment, and quit the agent's office shortly after the Notice of Abandonment  
     was received.

Due to the above, petition under 37 CFR 1.137(b) to revive the above-identified  
30    application is submitted. The entire delay caused by the abandonment of this  
     application was unintentional. This petition includes the fee set forth in 37 CFR  
     1.17(m).

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**OFFICE OF PETITIONS**

Please be advised that the mailing address for this application should be:

5

Winston Hsu  
P.O. Box 506  
Merrifield, VA., 22116  
U.S.A.

Sincerely yours,

10



Date: 9/5/2002

Winston Hsu, Patent Agent No.41,526

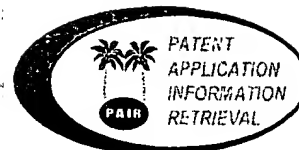
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15

Merrifield, VA 22116

U.S.A.

e-mail: winstonhsu@naipo.com.tw

**PATENT APPLICATION INFORMATION RETRIEVAL**[PAIR](#)[FAQ](#)[Help](#)[Feedback](#)**Other Links**[E-Business Center Patents](#)[Employee Locator](#)[Class/Subclass GAU Information](#)[Information Contacts](#)**Search results for application number: 09/187,197**

Application Filing Date:	11-03-1998	Class / Sub-Class:	438/427.000
Issue Date of Patent:	-	Location:	TECH CENTER 2800 - CENTRAL FI 4C24
Examiner Name:	GUERRERO, MARIA F	Status:	Abandoned -- Failure to Respond to Office Action
Group Art Unit:	2822	Attorney Docket Number:	MVI-005
Earliest Publication No:	-	Patent Number:	-
Earliest Publication Date:	-	Customer Number:	27765
Confirmation Number:	2744		

[Foreign Priority](#)[Continuity Data](#)[Publication Review](#)**File Contents History**

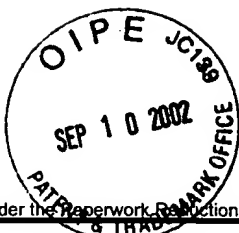
Number	Date	Contents Description
8	09-27-1999	Mail Abandonment for Failure to Respond to Office Action
7	09-27-1999	Abandonment for Failure to Respond to Office Action
6	02-17-1999	Mail Restriction Requirement
5	02-16-1999	Requirement for Restriction / Election
4	12-08-1998	Case Docketed to Examiner in GAU
3	11-27-1998	Application Dispatched from OIPE
2	11-19-1998	Application Scanned
1	11-10-1998	Initial Exam Team nn

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## OFFICE OF PETITIONS



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U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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# FEE TRANSMITTAL

## for FY 2002

Patent fees are subject to annual revision.

## Complete if Known

Application Number	09/187,197
Filing Date	11/03/1998
First Named Inventor	Jacson Liu
Examiner Name	Guerrero, M
Group Art Unit	2822
Attorney Docket No.	MVI-005

TOTAL AMOUNT OF PAYMENT (\$)

## METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number 50-0801

Deposit Account Name North America International Patent Office

- ☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

☐ Applicant claims small entity status. See 37 CFR 1.27

2. ☐ Payment Enclosed:

☐ Check ☐ Credit card ☐ Money Order ☐ Other

## FEE CALCULATION

## 1. BASIC FILING FEE

	Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
101	740	201 370	Utility filing fee	
106	330	206 165	Design filing fee	
107	510	207 255	Plant filing fee	
108	740	208 370	Reissue filing fee	
114	160	214 80	Provisional filing fee	

SUBTOTAL (1) (\$) 0.00

## 2. EXTRA CLAIM FEES

	Total Claims	Extra Claims	Fee from below	Fee Paid
Independent Claims		-20** =	X	
Multiple Dependent		-3** =	X	

	Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description
103	18	203 9	Claims in excess of 20
102	84	202 42	Independent claims in excess of 3
104	280	204 140	Multiple dependent claim, if not paid
109	84	209 42	** Reissue independent claims over original patent
110	18	210 9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$) 0.00

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

## 3. ADDITIONAL FEES

Fee Code	Large Entity (\$)	Small Entity (\$)	Fee Description	Fee Paid
105	130	205 65	Surcharge - late filing fee or oath	
127	50	227 25	Surcharge - late provisional filing fee or cover sheet	
139	130	139 130	Non-English specification	
147	2,520	147 2,520	For filing a request for <i>ex parte</i> reexamination	
112	920*	112 920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113 1,840*	Requesting publication of SIR after Examiner action	
115	110	215 55	Extension for reply within first month	
116	400	216 200	Extension for reply within second month	
117	920	217 460	Extension for reply within third month	
118	1,440	218 720	Extension for reply within fourth month	
128	1,960	228 980	Extension for reply within fifth month	
119	320	219 160	Notice of Appeal	
120	320	220 160	Filing a brief in support of an appeal	
121	280	221 140	Request for oral hearing	
138	1,510	138 1,510	Petition to institute a public use proceeding	
140	110	240 55	Petition to revive - unavoidable	
141	1,280	241 640	Petition to revive - unintentional	1280.00
142	1,280	242 640	Utility issue fee (or reissue)	
143	460	243 230	Design issue fee	
144	620	244 310	Plant issue fee	
122	130	122 130	Petitions to the Commissioner	
123	50	123 50	Processing fee under 37 CFR 1.17(q)	
126	180	126 180	Submission of Information Disclosure Stmt	
581	40	581 40	Recording each patent assignment per property (times number of properties)	
146	740	246 370	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	740	249 370	For each additional invention to be examined (37 CFR § 1.129(b))	
179	740	279 370	Request for Continued Examination (RCE)	
169	900	169 900	Request for expedited examination of a design application	

Other fee (specify)

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$) 1280.00

## SUBMITTED BY

Complete (if applicable)

Name (Print/Type)	Winston Hsu	Registration No. (Attorney/Agent)	41,526	Telephone	+886-2-8923-7350
Signature	Winston Hsu	Date	9/5/2002		

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